

GP3624 IFU

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Gastineau *et al.*

Appl. No.: 09/536,258

Filed: March 27, 2000

For: **HEDGING EXCHANGE TRADED
MUTUAL FUNDS OR OTHER
PORTFOLIO BASKET PRODUCTS**



Examiner: Charles, Debra F.

Art Unit: 3624

Confirmation No.: 3646

Atty. Docket No: 00322.0007.NPUS00

Date: March 24, 2006

**TRANSMITTAL OF INFORMATION DISCLOSURE
STATEMENT UNDER 37 C.F.R. §1.56, 1.97 and 1.98**

Mail Stop Amendment

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Applicants submit the following documents for appropriate action by the U.S. Patent and Trademark Office:

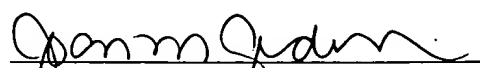
- ☒ Information Disclosure Statement under 37 C.F.R. §1.56, 1.97 and 1.98;
- ☒ Form PTO-1449 citing two (2) references, copies of which are provided; and
- ☒ Return postcard.

**CERTIFICATE OF MAILING
(37 C.F.R. §1.8a)**

I hereby certify that this paper (along with any referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date shown below with sufficient postage as First Class Mail in an envelope addressed to *Mail Stop Amendment*, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

March 24, 2006
Date of Deposit

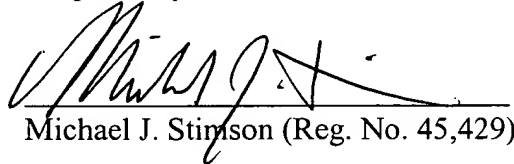
Joan M. Gordon
Name of Person Mailing Paper


Signature of Person Mailing Paper

Applicant believes no fees are due in connection with this transmittal. However, if any fees are in fact due, the Commissioner is hereby authorized to charge our Deposit Account No. **08-3038**. Kindly make reference to Howrey Docket No. **00322.0007.NPUS00** when debiting this account.

Respectfully submitted,

Date: March 24, 2006


Michael J. Stinson (Reg. No. 45,429)

HOWREY SIMON ARNOLD & WHITE, LLP
2941 Fairview Park Drive, Box 7
Falls Church, VA 22042
Facsimile (571) 273-8300
Telephone (949) 721-6900 (Pacific Coast)

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SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Mail Stop Amendment

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Sir:

In compliance with the duty of disclosure under 37 C.F.R. § 1.56, it is respectfully requested that this Supplemental Information Disclosure Statement be entered and the documents listed on attached Form PTO-1449 be considered by the Examiner and made of record. Copies of the two (2) listed documents required by 37 C.F.R. § 1.98(a)(2) are enclosed for the convenience of the Examiner.

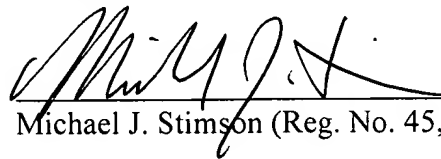
In accordance with 37 C.F.R §§ 1.97(g),(h), this Supplemental Information Disclosure Statement is not to be construed as a representation that a search has been made, and is not to be construed to be an admission that the information cited is, or is considered to be, material to patentability as defined in 37 C.F.R. § 1.56(b).

No fees are believed to be due in connection with the filing of this Supplemental Information Disclosure Statement, however, should any other fees be required for any reason, the Commissioner is authorized to deduct said fees from Deposit Account No. **08-3038**, Atty. Docket No. **00322.00007.NPUS00**.

Applicants respectfully request that the listed documents be made of record in the present case.

Respectfully submitted,

Date: March 24, 2006


Michael J. Stimson (Reg. No. 45,429)

HOWREY SIMON ARNOLD & WHITE, LLP
2941 Fairview Park Drive, Box 7
Falls Church, VA 22042
Facsimile (571) 273-8300
Telephone (949) 721-6900 (Pacific Coast)

CERTIFICATE OF MAILING
(37 C.F.R. §1.8a)

I hereby certify that this paper (along with any referred to as being attached hereto) is being deposited with the United States Postal Service on the date shown below with sufficient postage as First Class Mail in an envelope addressed to *Mail Stop Amendment*, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

March 24, 2006
Date of Deposit

Joan M. Gordon
Name of Person Mailing Paper


Signature of Person Mailing Paper



Form PTO-1449 (modified)

Atty. Docket No.:
00322.0007.NPUS00Serial No.:
09/536,258

List of Patents and Publications for Applicant's

Applicant:
Gary L. Gastineau

INFORMATION DISCLOSURE STATEMENT

(Use several sheets if necessary)

Filing Date:
March 27, 2000Group:
3624U.S. Patent Documents
*See Page 1*Foreign Patent Documents
*See Page 1*Other Art
See Page 1

U.S. Patent Documents (do NOT delete this heading)

U.S. Patent Documents

Exam. Init.	Ref. Des.	Document Number	Date	Name	Class	Sub Class	Filing Date of App.

Foreign Patent Documents

Exam. Init.	Ref. Des.	Document Number	Date	Country	Class	Sub Class	Translation Yes/No

Other Art (Including Author, Title, Date Pertinent Pages, Etc.)

Exam. Init.	Ref. Des.	Citation
	C1	"The Three Types of Factor Models: A Comparison of Their Explanatory Power," Gregory Connor, pp. 1-7.
	C2	"The Arbitrage Pricing Theory and Multifactor Models of Asset Returns," Gregory Connor et al., September 1992, Forthcoming in <i>Finance Handbook</i> , pp. 1-94.

EXAMINER:

DATE CONSIDERED:

EXAMINER: INITIAL IF REFERENCE CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED. INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.

INFORMATION DISCLOSURE STATEMENT — PTO-1449 (MODIFIED)